



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

NOTICE OF ALLOWANCE AND ISSUE FEE DUE

LMC1/0629

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APPLICATION NO.	FILING DATE	TOTAL CLAIMS	EXAMINER AND GROUP ART UNIT	DATE MAILED
09/209,124	12/10/98	011	HAYES, J	2761 08/29/00
First Named Applicant	FLENLEY,	35 USC 154(b) term ext. =		

TITLE OF INVENTION FILTER MODULE FOR A TRANSACTION PROCESSING SYSTEM

ATTY'S DOCKET NO.	CLASS-SUBCLASS	BATCH NO.	APPLN. TYPE	SMALL ENTITY	FEE DUE	DATE DUE
2 UK9-98-048	705-043.000	R48	UTILITY	NO	\$1210.00	11/29/00

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED.

THE ISSUE FEE MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED.

HOW TO RESPOND TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

- A. If the status is changed, pay twice the amount of the FEE DUE shown above and notify the Patent and Trademark Office of the change in status, or
- B. If the status is the same, pay the FEE DUE shown above.

If the SMALL ENTITY is shown as NO:

- A. Pay FEE DUE shown above, or
- B. File verified statement of Small Entity Status before, or with, payment of 1/2 the FEE DUE shown above.

II. Part B-Issue Fee Transmittal should be completed and returned to the Patent and Trademark Office (PTO) with your ISSUE FEE. Even if the ISSUE FEE has already been paid by charge to deposit account, Part B Issue Fee Transmittal should be completed and returned. If you are charging the ISSUE FEE to your deposit account, section "4b" of Part B-Issue Fee Transmittal should be completed and an extra copy of the form should be submitted.

III. All communications regarding this application must give application number and batch number. Please direct all communications prior to issuance to Box ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

PATENT AND TRADEMARK OFFICE COPY

Notice of Allowability

Application No.

09/209,124

Examiner

John W Hayes

Applicant(s)

FLENLEY ET AL.

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance and Issue Fee Due or other appropriate communication will be mailed in due course.

1. ☒ This communication is responsive to Amendment filed 06 July 2000.
2. ☒ The allowed claim(s) is/are 3,5-8,11,13 and 15-18.
3. ☐ The drawings filed on _____ are acceptable.
4. ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).
- a) ☒ All b) ☐ Some* c) ☐ None of the CERTIFIED copies of the priority documents have been
1. ☒ received.
2. ☐ received in Application No. (Series Code / Serial Number). _____.
3. ☐ received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

* Certified copies not received: _____.

5. ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. & 119(e).

A SHORTENED STATUTORY PERIOD FOR REPLY to comply with the requirements noted below is set to EXPIRE THREE MONTHS FROM THE "DATE MAILED" of this Office Action. Failure to timely comply will result in ABANDONMENT of this application. Extensions of time may be available under the provisions of 37 CFR 1.136(a).

6. ☐ Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient. A SUBSTITUTE OATH OR DECLARATION IS REQUIRED.
7. ☒ Applicant MUST submit NEW FORMAL DRAWINGS
- (a) ☐ because the originally filed drawings were declared by applicant to be informal.
- (b) ☒ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
- 1) ☐ hereto or 2) ☒ to Paper No. 4.
- (c) ☒ including changes required by the proposed drawing correction filed 06 July 2000, which has been approved by the examiner.
- (d) ☐ including changes required by the attached Examiner's Amendment / Comment.

Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the reverse side of the drawings. The drawings should be filed as a separate paper with a transmittal letter addressed to the Official Draftsperson.

8. ☐ Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Any reply to this letter should include, in the upper right hand corner, the APPLICATION NUMBER (SERIES CODE / SERIAL NUMBER). If applicant has received a Notice of Allowance and Issue Fee Due, the ISSUE BATCH NUMBER and DATE of the NOTICE OF ALLOWANCE should also be included.

Attachment(s)

- 1 ☒ Notice of References Cited (PTO-892)
- 3 ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 5 ☐ Information Disclosure Statements (PTO-1449), Paper No. _____.
- 7 ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
- 2 ☐ Notice of Informal Patent Application (PTO-152)
- 4 ☐ Interview Summary (PTO-413), Paper No. _____.
- 6 ☐ Examiner's Amendment/Comment
- 8 ☒ Examiner's Statement of Reasons for Allowance
- 9 ☐ Other

DETAILED ACTION

Oath/Declaration

1. The oath or declaration is defective. A new oath or declaration in compliance with 37 CFR 1.67(a) identifying this application by application number and filing date is required. See MPEP §§ 602.01 and 602.02.

The oath or declaration is defective because: The declaration indicates that there is a sole inventor when there is actually joint inventors.

2. Applicant is now required to submit a substitute declaration or oath to correct the deficiencies set forth above. The substitute oath or declaration must be filed within the THREE MONTH shortened statutory period set for reply in the "NOTICE OF ALLOWABILITY" (PTOL-37 or PTO-37). Extensions of time may be obtained under the provisions of 37 CFR 1.136(a). Failure to timely file the substitute declaration (or oath) will result in **ABANDONMENT** of the application. The transmittal letter accompanying the declaration (or oath) should indicate the following in the upper right hand corner: Issue Batch Number, date of the "Notice of Allowance" (PTOL-85), and application number.

Examiner has noted that applicant is in the process of obtaining a new declaration

Drawings

3. The proposed drawing correction and/or the proposed substitute sheets of drawings, filed on 06 July 2000 have been approved by the examiner.
4. The drawings filed on 10 December 1998 remain subject to correction of the informalities indicated on the "Notice of Draftperson's Patent Drawing Review," PTO-948 forwarded as part of the previous Office Action, paper number 4. In order to avoid abandonment of this application, correction is required.
5. The application having been allowed, formal drawings are required in response to this Office Action.

Allowable Subject Matter

6. Claims 3, 5-8, 11, 13 and 15-18 are allowed over the prior art of record.

7. The following is a statement of reasons for the indication of allowable subject matter:

As per claim 15, the closest prior art of record (EP 0520766A2 to Saadeh et al) taken either individually or in combination with other prior art of record fails to teach or suggest wherein the filter module, transaction manager and application has an associated identifier and wherein the application is adapted to include the identifier of the application or the transaction manager to which transaction responses are to be relayed by the service provider layer in a transaction request and the filter module being adapted to replace the identifier in at least some transaction requests with the identifier of the filter module so that responses to the requests from the service provider layer are relayed to the filter module. The specific allowable feature, which distinguishes the present invention over the prior art is the filter module being adapted to replace the identifier with the identifier of the filter module. Saadeh et al discloses a bus monitor and a bi-directional translator between a system manager and a network management agent, however, does not teach using identifiers for relaying the information. Claims 3 and 5-8 are dependent upon claim 15 and thus have all the limitations of claim 15 and are allowable for that reason.

As per claim 16, the closest prior art of record (EP 0520766A2 to Saadeh et al) taken either individually or in combination with other prior art of record fails to teach or suggest a transaction processing system as recited in claim 15 wherein one of the applications is a web browser adapted to run a web application, the web application including one or more web pages. The specific allowable feature, which distinguishes the present invention over the prior art is the combination of a web application with the transaction processing system as recited in claim 15.

As per claim 17, the closest prior art of record (EP 0520766A2 to Saadeh et al) taken either individually or in combination with other prior art of record fails to teach or suggest wherein the transaction processing system cooperates with a registry and wherein the service provider is adapted to be registered in the registry and the transaction manager is adapted to call the service provider modules

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by using information obtained by a lookup process performed on the registry. Claim 11 is dependent upon claim 17 and thus has all the limitations of claim 17 and is allowable for that reason.

As per claim 18, the closest prior art of record (EP 0520766A2 to Saadeh et al) taken either individually or in combination with other prior art of record fails to teach or suggest an automatic teller machine specifically including the transaction processing system as recited in claim 15 and the ATM further comprising the elements recited in claim 18. The specific allowable feature, which distinguishes the present invention over the prior art is the combination of a ATM including the elements recited in this claim with the transaction processing system as recited in claim 15. Claim 13 is dependent upon claim 18 and thus has all the limitations of claim 18 and is allowable for that reason.

Conclusion

8. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

- Grant et al disclose an apparatus for completing a customer initiated ATM transaction and teach a transaction processing system including a transaction manager and a service provider layer
- Burt et al disclose an architecture that includes an operations gateway defined by a number of agents that take responsibility for accomplishing support system related functions including financial transaction functions.
- Watanabe et al disclose a transaction tracing apparatus which conducts transaction processing in an arrangement wherein a server and a plurality of clients are connected via a transmission path in which transmission information is exchanged. The tracing apparatus is comprised of a trace control module and a filter creation module for creating extraction filters and analysis filters to be employed for extraction of specific data.
- Sato et al disclose an ATM including a transaction recording means
- Eaton et al disclose a multi-transaction service system comprising a plurality of service request and supply channels each comprising channel-specific hardware and software and an integrated channel manager arranged to provide multiple interface layers including at least on application service connectable to any channel.

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- San Andres et al disclose a transaction replication service that receives update transactions from individual application servers and forwards them for processing
- Symonds et al disclose a financial transaction processing system that processes transactions by translating messages between varied formats
- Semple et al discloses an ATM for accessing the internet, however, fails to disclose a filter module.

9. Any inquiry concerning this communication or earlier communications from the examiner should be directed to John Hayes whose telephone number is (703)306-5447. The examiner can normally be reached Monday through Friday from 5:30 to 3:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Todd Voeltz, can be reached on (703) 305-9714.

The Fax phone number for the **UNOFFICIAL FAX** for the organization where this application or proceeding is assigned is (703) 305-0040 (for informal or draft communications, please label "PROPOSED" or "DRAFT").

The Fax phone number for the **OFFICIAL FAX** for the organization where this application or proceeding is assigned is (703) 308-9051 or 9052 (for formal communications intended for entry).

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-3900.

Jwh

18 August 2000

SEARCHED
SERIALIZED
INDEXED
FILED
AUG 22 2000
FBI - NEW YORK